

Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)

Docket No.
1500/2

In Re Application Of: Murray L. Finebaum et al.

APR 12 2002

Serial No.
10/001,921

Filing Date
11/15/01

Examiner
Unassigned

Group Art Unit
2131

Invention: METHOD AND APPARATUS FOR TRADING BONDS

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on

1/9/02

Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☐ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☒ not required verified small entity declaration(s)
 - ☐ is/are attached.
 - ☐ was/were filed on _____
- ☐ A separate request for refund.

☒ Other (list):

Recordation Form Cover Sheet, Patents Only
Assignment in favor of Market Axess Inc.
35 sheets replacement drawings

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10/001,921

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Invention: **METHOD AND APPARATUS FOR TRADING BONDS**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

☒ Completion of application fees as calculated below:

☒ Utility application filing fee \$370.00

☐ Design application filing fee

☒ Total number of independent claims = 10 \$294.00

☒ Total number of claims = 53 \$297.00

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$65.00

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees \$1,026.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☒ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: 3/9/02 until: 4/9/02
Date *Date*

Total time extension fees \$55.00

Total fees due \$1,081.00

Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533) (Small Entity)

Docket No.
1500/2

In Re Application Of: Murray L. Finchaum et al.

Serial No.
10/001,921

Filing Date
11/15/01

Examiner
Unassigned

Group Art Unit
2131


Invention: METHOD AND APPARATUS FOR TRADING BONDS

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

The fee of \$1,081.00 is to be paid as follows:

- ☐ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-1047.
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 50-1047.
A duplicate copy of this sheet is enclosed.


Signature

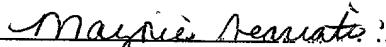
Dated: 4/2/02

Michael P. Fortkort Reg. No. 35,141
Mayer Fortkort & Williams, PC
251 North Avenue West, 2nd Floor
Westfield, NJ 07090

703-435-9390

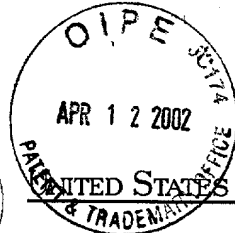
cc:

I certify that this document and fee is being deposited
on 4/4/02 with the U.S. Postal Service as
first class mail under 37 C.F.R. 1.8 and is addressed to the
Assistant Commissioner for Patents, Washington, D.C.
20231.


Signature of Person Mailing Correspondence

Marjorie Scariati

Typed or Printed Name of Person Mailing Correspondence



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D. C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/001,921	11/15/2001	Murray L. Finebaum	1500/2

CONFIRMATION NO. 8945

FORMALITIES LETTER



OC000000007285271

 27774
 MAYER, FORTKORT & WILLIAMS, PC
 251 NORTH AVENUE WEST
 2ND FLOOR
 WESTFIELD, NJ 07090

Date Mailed: 01/09/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1182
 - \$594 for 33 total claims over 20.
 - \$588 for 7 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2052.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
 - drawings submitted to the Office are not electronically reproducible. Drawing sheets

04/17/2002 WARRHAM 00000002 501047 10001921

01 FC:201	370.00 CH
02 FC:203	297.00 CH
03 FC:202	294.00 CH
04 FC:205	65.00 CH

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must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

2003101251000